



Funding Opportunity Title: Assets and Market Access Collaborative Research Support Program (AMA CRSP)

Announcement Type: Request for Application

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RFA Applicant Questions Due: October 27, 2011 at 4:00 p.m. (Eastern Standard Time)

Closing Date and Time for Application Submission: November 21, 2011 at 4:00 p.m. (Eastern Standard Time)

The United States Agency for International Development (USAID) seeks applications from eligible universities or colleges to serve as the Management Entity (ME) for a Collaborative Research Support Program (CRSP) entitled: Assets and Market Access (AMA). The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

This CRSP activity will be a Leader with Associates (LWA) assistance award. The successful applicant will be awarded a five-year Cooperative Agreement Leader Award with responsibility for managing a global program of research and outreach activities intended to provide results in multiple countries and/or regions. The Recipient will be responsible for ensuring achievement of the program objectives of this CRSP. Please refer to the Program Description for a complete statement of goals and expected results.

Additional related activities may be awarded by USAID missions or Washington-based offices as Associate Awards. These associate awards need not be competed, but rather are awarded under the Leader agreement and are subject to the provisions of that award.

This LWA is a Title XII activity as described in that section of the Foreign Assistance Act of 1961, as amended in 2000. Eligible institutions include U.S. Land Grant Universities and Colleges having: “(1) demonstrable capacity in teaching, research, and extension (including outreach) activities in the agricultural sciences; and (2) that can contribute effectively to the attainment of the objectives” of the Title XII legislation. Additionally, to be eligible, applicants must: (1) demonstrate an established capacity to provide the technical services and expertise to support the Collaborative Research Support Program; (2) have a proven track record in managing applied research programs, and promoting agricultural and rural development; (3) be

legally registered in the United States; and (4) be able to meet USAID financial management standards to ensure funds accountability.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the Cooperative Agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to the availability of funds, USAID intends to award a five-year Leader Award up to \$18,000,000. Associate awards are anticipated to be \$7,000,000 over the life of the agreement for a total cumulative estimated amount up to \$25,000,000 for the five-year agreement. Considering current budgetary constraints the applicant should use an initial (year 1) core funding level of \$2,700,000 for budgetary purposes. The Leader and Associate awards shall specify the Total Estimated Award (TEA) amount for the Cooperative Agreement allocated over the five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

SECTION I – Funding Opportunity Description
SECTION II – Award Information
SECTION III – Eligibility Information
SECTION IV – Application and Submission Information
SECTION V – Application Review Information
SECTION VI – Award and Administration Information
SECTION VII – Agency Contacts
SECTION VIII – Other Information
Annexes

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Also, "application" is synonymous with "proposal."

The award will be made to that responsible applicant whose application offers the greatest value in furthering the goals of the Program.

Applications are submitted at the risk of the applicant; all preparation and submission costs are at the applicant's expense. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the

preparation and submission of an application. In addition, final award of any resultant Cooperative Agreement cannot be made until funds are available for award.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunity for Which You Would like to Apply", then click on "Browse by Agency", and select the "US Agency for International Development" and search for the RFA.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section V Application Review Information: Selection Criteria
- (b) Section IV Application and Submission Information
- (c) Section I – Funding Opportunity Description: The Program Description
- (d) This Cover Letter.

The applicant shall submit applications in BOTH electronic and hard copy format as described in Section IV. Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

Any clarification questions concerning this RFA should be submitted in writing to Christine Dwulet via email at cdwulet@usaid.gov, with a read receipt requested, by the date and time specified above. If there are problems in downloading the RFA off of www.grants.gov, please contact the Federal Grants Help Desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Thank you for your interest.

Sincerely,

Natalie J. Thunberg
Agreement Officer
USAID/Washington

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. THE PROGRAM

A.1 BACKGROUND

The United States Agency for International Development (USAID) supported Collaborative Research Support Program (CRSP) was created in 1977 to engage the capacities of the U.S. land grant universities in addressing the needs of developing nations worldwide while also contributing to U.S. food security and agricultural development. The U.S. Congress made this possible with the passage of the International Development and Food Assistance Act of 1975, specifically under Title XII of that Act. With the passage of the Famine Prevention and Freedom from Hunger Improvement Act of 2000, Title XII was amended and reauthorized, enabling the continuation of long-term collaborative research programs as one of several categories of U.S. university led research efforts helping “to achieve the mutual goals among nations of ensuring food security, human health, agricultural growth, trade expansion, and the wise and sustainable use of natural resources.”

With the 2000 amendment of Title XII, Congress has directed that support be provided to mobilize the capacities of U.S. universities and public and private partners of universities for 1) global research on problems affecting food, agriculture, forestry, and fisheries; and 2) improved human capacity and institutional resource development for the global application of agriculture and related environmental sciences. These activities are intended to benefit both developing countries and the United States.

CRSP activities are long-term in nature and emphasize equally: (1) the development of capacity of the developing country participants to ultimately meet their own knowledge requirements; (2) the creation of new technologies and solutions to existing constraints under the specific topic of the CRSP; and (3) economic, health and social impacts. Research activities are conducted in collaboration with host-country researchers and institutions, and are structured so as to have a returning benefit to the U.S. institutions or U.S. agriculture more broadly. There are currently nine CRSPs addressing different sub-sectors of agriculture. One of these is the Assets and Market Access (AMA) CRSP. The AMA CRSP agreement expired September 30, 2011. The AMA CRSP proposed in this RFA will be a continuation, with some modification, to the previous AMA CRSP program.

USAID’s Bureau of Food Security manages a range of research grants and agreements, including the CRSPs that bring the experience and expertise of U.S. Universities, Non-governmental Organizations, International Research Centers, and U.S. Government Agencies to bear on critical development questions in the areas of Agriculture Development and Food Security. The Bureau’s research portfolio is designed to closely align with and support the Bureau’s primary objective in overseeing design and implementation of the US Government’s Global Hunger and Food Security Initiative, also known as Feed the Future.

A.2 ALIGNMENT WITH FEED THE FUTURE

At the G8 Summit in L'Aquila, Italy in July 2009, global leaders committed to "act with the scale and urgency needed to achieve sustainable global food security." Global leaders recognized that the combined effect of longstanding underinvestment in agriculture and food security, historically high and volatile food prices, and the economic and financial crisis was increasing dramatically the number of poor and hungry and jeopardizing global progress toward meeting the Millennium Development Goals (MDGs).

President Obama's commitment at L'Aquila laid the groundwork for the development of expanded assistance for increasing food security to address the many issues related to hunger and poverty. As a result of this commitment, the Feed the Future (FTF) Initiative is the U.S. government's global hunger and food security initiative that renews its commitment to invest at least \$3.5 billion for agricultural development and food security over three years to sustainably reduce hunger and poverty.¹ The Initiative currently targets hunger and poverty in twenty focus countries in Asia, Africa, Latin America and the Caribbean.

FTF aims to tackle the root causes of global hunger by sustainably increasing agricultural productivity to meet the demand for food, supporting and facilitating access to strong markets, increasing incomes so the poor can meet their food and other needs, and reducing undernutrition. FTF has two key objectives that address the principal determinants of food insecurity – inclusive growth in the agriculture sector and improved nutritional status, especially for women and children. In focusing on these objectives, USAID will address the principal determinants of food insecurity.

Excluding the poor from economic growth strategies is costly—both in terms of human capital and development resources. In Ethiopia alone over the past 5 years, the United States has spent an average of \$300 million annually to feed millions of people excluded from the growth process. Addressing the constraints to the poor's participation in agriculture-led economic growth will allow them to participate in and contribute to the expansion of rural growth.

To increase the participation of the very poor in agriculture-led growth, efforts will focus on linking these groups to new opportunities throughout agriculture value chains. Policy constraints which prevent asset accumulation and utilization, and otherwise limit the participation of the poor in a wider range of economic activity need to be identified and addressed. Identifying economic entry points, and enabling people to take advantage of the opportunities they present, will require well-targeted social and economic safety-nets, improved access to financial services, and risk management. As women and children represent a greater proportion of the lowest income levels, strategies to reduce gender inequality, described below, must also be employed.

USAID's Feed the Future strategy also recognizes that climate change is a critical cross-cutting issue that can affect the sustainability of investments in agricultural development and food security, impede long-term economic growth, and adversely affect livelihoods and wellbeing. The Global Climate Change Initiative complements this work by investing in adaptation efforts that help vulnerable populations cope with increased climate risks.

¹ More information about the Global Hunger and Food Security Initiative can be found at www.FeedtheFuture.gov

Through the AMA CRSP, USAID is particularly interested in better understanding the root causes of persistent poverty and food insecurity, how best to improve the resiliency of poorer households and communities, and how to effectively increase the capacity of poorer households to engage in and benefit from agriculture-led economic growth. USAID is driven by an imperative to support lasting development impact in ways that have significant local ownership and are market-oriented.

As with all USAID-supported programming, the CRSP will be asked to work in a manner that is consistent with the Agency's strategic goals. In this case, the relevant goals are outlined in the *Feed the Future Guide*. The AMA CRSP's activities will prioritize FTF focus countries and regions, and give priority sectors/value chains. While USAID recognize that contributing to a global research agenda may justify some flexibility to. Moreover, the AMA CRSP's research agenda and portfolio should be consistent with the FTF Research Strategy.²

The AMA CRSP will mobilize US university expertise to support USAID in achieving its goals and strategic objectives around food security, agricultural development and rural resiliency. It will do this through the generation and dissemination of knowledge, and the promotion of recommendations on policies, programming and practices that will improve rural households' ability to acquire, protect and effectively utilize productive assets. The AMA CRSP program will generate innovations in the enabling environment, institutions and products that support inclusive agriculture-led economic growth through enhanced access to markets, improved access to financial and risk management services, increased technology adoption and climate change adaptation, and increased resiliency of both men and women in vulnerable households and communities.

The AMA CRSP will contribute to USAID's strategic objectives by conducting rigorous policy and programming relevant research in defined areas of inquiry, as discussed below; by building capacity of host country institutions and maximizing training of host country scientists; by achieving impact through the development, testing and adoption of innovative approaches, and through the shaping of development discourse.

A.3 PROBLEM STATEMENT

Promoting economic growth in rural areas, where the majority of the world's poor live, is critically important if we are to effectively meet the Millennium Development Goals, reduce poverty and hunger, raise rural incomes and achieve more sustainable development. In addition vulnerability, insecurity and conflict are often related to low growth, high levels of poverty and dependence on marginal natural resources. Even when presented with economic opportunity, many

Assets are a stock or productive resource such as land, labor, Assets can be measured in terms of both quantity and quality. The quality of labor is shaped by an individual's education and health, as well as the robustness of the labor market; land, by such things as the quality of the soil, the security of tenure and location.

Adapted from IFAD *Rural Poverty Report*, 2001

² More information about the FTF Research Strategy can be found at <http://www.feedthefuture.gov/research.html>

individuals and households in rural areas do not have the capacity to engage – there are often barriers to market entry. Often this is because they lack the resources necessary to take advantage of these opportunities. In other cases, repeated exposure to various shocks has left households and communities too vulnerable to take economic risks; as the climate changes, these shocks will become more frequent and more severe. In many instances, the poverty and low asset levels that constrain people from participating in sustainable and rewarding economic activity have resulted from inadequate access to critical factors of production such as land, water, labor, and finance, as well as to services and information. Asset productivity can also be low. In other cases, constraining policy environments limit them from optimally using the assets they do possess. As a result, the poor often have few options other than to pursue fragile livelihood strategies, engaging in practices that yield low or negative rates of return and that constrain productivity and responsiveness to income-generating opportunities. On a community level, missing or dysfunctional factor markets, and a lack of integration with competitive output markets, further undermines investment and perpetuates a cycle of poverty.

In environments of extreme rural poverty and growing inequality, linking male and female rural producers to markets is essential, but not sufficient. If markets are biased against poor rural producers, increased linkages alone may lead to additional wealth extraction, exacerbating poverty and inequality. Markets can be biased against poor rural producers in a number of ways including through asymmetrical information; market segmentation; collusion; lack of clear and appropriate property rights systems; barriers to market entry (size, capital, capacity, etc.); the downward push of risk to lower levels; pricing and tax policies, etc. The poor can be excluded from markets, but they can also be adversely incorporated in it.

Risk and vulnerability are critical dimensions of poverty and are thus critical elements of development strategies. Depending on the nature and scale of a shock, traditional risk mitigation or coping mechanisms can be overwhelmed and ineffective at preventing a slide into deeper poverty. While adequate asset reserves or access to financial instruments can help a household manage risk and recover from shock, inadequate reserves are a major source of vulnerability and can result in chronic food insecurity and persistent poverty. Inequality in asset holdings, especially in the face of limited options for the poor to acquire assets through legitimate means, can even become a trigger for conflict. Asset holdings also are differentiated by gender, and women generally have less access and control to asset-building and preservation measures, although often women's assets are the first to be liquidated in times of crisis.

Climate change is an additional stressor that exacerbates these development challenges by increasing the unpredictability of rainfall and the severity of extreme events like droughts and storms. As climate change continues, traditional coping mechanisms will be less and less adequate, necessitating new risk management tools and practices as part of broader climate change adaptation efforts.

High prices and price volatility present another set of risks for agricultural producers in developing countries, many of whom are net buyers of food. The uncertainty associated with price volatility undermines investment and technology adoption, while higher prices erode household food security. Without adequate post-harvest storage and financial instruments that facilitate the smoothing of both sales and consumption, households are left vulnerable to

dramatic seasonal price swings. At the national level, a dearth of price risk management options can lead to restrictive trade policy and/or excessive stockpiling of food commodities.

To create an environment that is conducive to broad-based economic growth, policy and development programming must be informed by sound analysis of household and community behaviors, including investment and risk management behaviors. Sound policy and programming should also be based on an understanding of the role of effective institutions, domestic and international markets, the determinants of effective governance at different levels, and ways that the rural poor contribute to and participate in economic growth opportunities. Better knowledge is needed on the way that risk shapes poor households' investment decisions, their adoption of technology, and engagement in economic opportunity and access to markets, including financial markets. Policy makers and development professionals need rigorous research that will inform policy decisions and program design, test out innovative approaches, and evaluate the impact of policy and programming.

Researchers working with the current AMA CRSP³, and with its predecessor the Broadening Access and Strengthening Input Markets (BASIS) CRSP, have contributed to the conceptualization of poverty as a dynamic condition that distinguishes between transitory and chronic poverty, and between income and asset poverty, and have begun to identify the asset thresholds associated with this dynamic. Research activities under these CRSPs have developed concrete policy recommendations and institutional innovations that improve access to land and water resources and reduce constraints to financial services. There has been a particularly robust engagement on the topic of risk and vulnerability, and significant investments made in advancing our understanding of when, where and how to use index insurance in developing country contexts to support development objectives. This research has made important contributions to specific development challenges in host countries, but has also informed the broader development discourse. In this continuation, USAID seeks to deepen this work on risk and vulnerability, while further refining the AMA CRSP's thematic focus and alignment with Feed the Future priorities and objectives.

A.3 PROGRAM DESCRIPTION

This section outlines factors to be considered in the development of the AMA CRSP program structure and management.

A.3.1 *Technical Approach*

The AMA CRSP will conduct applied research on the elements that shape rural households' resiliency, food security and participation in agriculture-led economic growth. The research will inform, develop and test innovative interventions that will enhance rural households' ability to acquire, protect and effectively utilize productive assets, as well as their ability to effectively engage in markets. USAID will look to the AMA CRSP to bring to light applicable policy/programming recommendations and institutional innovations that will build resilience among vulnerable households and communities and enhance the participation of the poor in the Agency's agriculture-led growth programming.

³ See <http://www.basis.wisc.edu/>

The AMA CRSP will be comprised primarily of a portfolio of competitively selected, policy relevant research activities that aim to generate knowledge and recommendations on policy and programming to address the development challenges discussed above. A management entity in the university recipient of the Cooperative Agreement Leader Award will provide the leadership and oversight of the research portfolio. All research activities should be relevant to ongoing development debates and result in practicable recommendations for policy reforms, institutional innovations and/or development programming relative to these debates. They are intended to be collaborative efforts between US universities and host-country universities or research institutions. Partnering with host country NGOs, and international and national agricultural research centers is also encouraged. Since it is assumed that many of the innovations developed and tested under the AMA CRSP will be market oriented, engagement and collaboration of private sector practitioners will be expected, especially where this will facilitate longer term sustainability and scaling of interventions.

The three broad areas of inquiry will be Inclusive Market Access; Risk Management and Resilience; and Rural and Agricultural Finance. Gender and impact evaluation are important cross cutting themes that should be recurrent throughout the portfolio regardless of specific substantive issues addressed. While the program statement is being written broadly enough to allow some intellectual flexibility in the research program, USAID prefers that the CRSP focus its research portfolio along two or three themes in order to build a critical mass of work in these areas. USAID has been extremely pleased with the technical leadership that the current AMA CRSP award has coalesced around indexed insurance, and wishes to continue to pursue investments in this theme. The Agency would like to see similar prioritization of work in the area of social protection as it relates to enhancing the participation of the poor in economic opportunity, and in the area of price risk.

A.3.1.1 Inclusive Market Access and Engagement

Globalization and market liberalization have generated economic opportunities for many small farmers, processors and agribusinesses, but it has also exposed many of them to new forces of marginalization, exclusion and adverse incorporation. Other rural households are poorly integrated with larger product markets, limiting livelihood options. In these situations, land and labor remain marginally productive, and there is little investment in value-adding enterprises that could build demand for agricultural products and provide employment. Access to appropriate inputs such as new seed varieties and fertilizers is limited, but so are the incentives to adopt these and other technologies even when they are available.

Linking small holders to markets is key to expanding their economic opportunity and incentives, but strategies that only look to strengthen market links may not benefit the poor. A recurrent issue in development discourse is how to make markets work for the poor. Equity sharing arrangements and contract farming hold promise to provide and sustain incomes but are fraught with policy and technical constraints. Value chain relationships can improve access to both input and output markets, as well as provide an important source of working capital, but can be hampered by asymmetrical information, market segmentation and collusion. Further, research is needed to explore the role of social protection in enhancing the poor's capacity to engage in economic opportunity. Research can also inform the ways in which more agricultural-led economic growth programming can complement efforts to build the resiliency of the poor by enhancing the entry points for the rural poor, both men and women, in value chain activities—as

producers, laborers and as micro-service providers linked to value chain enterprises in an expanding rural economy. Research on promoting greater benefits for value chains traditional done by women, and promoting greater participation of women in higher-value value chains, is especially important.

The limited asset base of the rural poor is often a major constraint to their being able to take advantage of economic opportunities. Land is often a rural resident's most valuable asset, yet insecurity in land tenure and constrained or missing markets for land can significantly undermine the productive efficiency and economic options of a rural household. Secure property rights and equitable control over resources can increase incentives for investment and can provide the basis for better access to credit, and improved community/social stability. Given the social-cultural context for land rights, USAID encourages research that helps increase poor men and women's access to land resources, as well as promoting policy reform.

The linkage between economic growth and labor incomes is of renewed interest under current patterns of market reform, trade related growth, and technology adoption. Identifying the barriers to and capacities of households to acquire, protect, and effectively utilize their labor as an asset is a growing focus of USAID programs. Previous inattention to the spatial scale of socioeconomic interaction and the geographic relationship among markets for labor, natural resources, finance, information, other inputs, and products has been a critical weakness of development initiatives. Research is needed to identify constraints to improved outcomes in labor markets, especially issues of factor market integration or interaction and the most relevant policy and programmatic interventions in non-labor markets. Special attention should be paid to the value and opportunity costs of unpaid family labor, especially that of women and children.

A.3.1.2 Risk Management and Resilience

Risk can discourage farmers from investing in improvements and from adopting more profitable technologies. In the absence of adequate risk management mechanisms, poor households may maintain low risk/low return livelihood strategies that keep them in poverty and make them more vulnerable to future shocks. Risk is also a critical element constraining agricultural producers' access to finance. Research is needed to inform the development of insurance instruments that help farmers and other rural households better manage risk and improve their productivity and incomes. Research on risk could explore the role of government in setting policy, providing safety net programs that do not distort markets or displace traditional coping mechanisms, and supporting appropriate public goods and institutions that enable private sector provision of risk management and mitigation mechanisms. Commodity futures markets and revenue insurance also offer interesting possibilities for providing some price risk management options.

Weather Risk

Under the Index Insurance Innovation Initiative, the AMA CRSP has made significant progress in establishing a portfolio of activities designed to inform when, where and how best to use index insurance products to protect farmers against correlated risk. The learning agenda has included issues of uptake, product design to contain price and minimize basis risk, effective outreach and education, distribution channels and use of ICTs, group vs. individual contracts and insurance to complement other climate change adaptation efforts. At the core are the development objectives that underpin the Feed the Future Strategic Framework. These include increased productivity through the adoption of improved technologies, increased access to finance, and increased

resilience of vulnerable households and communities. Evidence of how and whether insurance price signals and coverage can motivate investment and behaviors that reduce risk (such as adoption of adaptive inputs or practices) could have a powerful influence on Mission programming. Under this award, the AMA CRSP will be expected to expand an engagement on risk management by 1) adding pilots that complement FTF implementation programs in various areas (i.e., value chain programming); 2) facilitating Mission integration of insurance into FTF and GCC programming through outreach and technical support; and 3) designing and testing the scale up of insurance products to broader areas (i.e., beyond the original areas for which micro data was available for product design), for example, by utilizing agro-ecological mapping and crop modeling.

Price Risk

The 2007/2008 food price spike was a significant catalyst for establishing the Global Hunger and Food Security Initiative, Feed the Future. High food prices exacerbate food insecurity by eroding the purchasing power of poor rural households, most of which are net buyers of food. This is compounded by a dearth of financial services and storage options that would otherwise allow smallholder producers to smooth consumption. Volatile prices can also provide a disincentive for investment among risk adverse smallholders. Finally, the fear of social instability associated with high food prices and food shortages has often led to a trade and pricing policies that undermine market function—ultimately providing a disincentive to production. There is, therefore, significant demand for research that explores institutional innovations and other creative programming solutions that offer some protection from price risk, and/or enhance price stability using market-friendly mechanisms.

A.3.1.3 Rural and Agricultural Finance

In many developing countries, there continues to be a vacuum in the provision of financial services for rural households and enterprises. This includes savings and other risk management mechanisms, transfer services, and seasonal and investment credit for small and medium sized farms. Transaction costs associated with dispersed populations can undermine financial service provision. In some of these countries, commercial banks may serve the needs of large agribusiness enterprises, and micro finance institutions have begun to provide financial services to the poor, at least in urban areas. Still, most small and medium farmers must rely on self-financing or informal lenders to invest in their operations. Improving small farmers' productivity, as well as their ability to protect their productive assets in the face of shocks, requires development of a rural financial infrastructure that provides producers access to a full range of financial services, including credit and savings, but also insurance, transfers and payments. Research that promotes a better understanding of how to stimulate financial service provision to agricultural enterprises and smallholder producers, especially women and other underserved community members, would be of tremendous value to USAID field Missions.

Helping poorer rural residents gain greater access to consumption smoothing instruments can facilitate their resilience to risk and ability to recover from shocks. There is anecdotal evidence that linking household (consumption) finance with working capital production loans for smallholders can reduce the side selling that often undermines third party value chain finance. Evidence of the efficacy of this or other approaches to enhance and leverage value chain finance could help refine development programming and private sector activity in this area. Finally, the

interlinking of financial services (e.g., the linking of savings with social protection transfers or input subsidies; the linking of working capital credit with insurance; the linking of household consumption finance with working capital loans as mentioned above) can enhance development objectives by increasing technology adoption and other prudent risk taking, and also ensure that the most appropriate tools are targeted at each kind of risk, for more cost-effective risk management. Further exploration and development of innovations that promote productive linkages between rural financial sector deepening and development objectives is encouraged.

Work could also include an exploration of lending practices and procedures that would incentivize clients to make investments that build their resiliency to climate and other shocks. This would also reduce the risk they present as borrowers. Work in this area could include preparing or contributing to climate change-themed credit analysis manuals for MFIs and other financial institutions, and providing access to weather and climate data, so they can better understand the risks and how to lend in ways that will reduce rather than increase their clients' vulnerability.

A.3.1.4 Cross Cutting Themes

Gender

Gender has particular resonance in the area of assets and market access. According to the FAO (2010), women smallholders comprise an average of 43% of the agricultural labor force in developing countries. Of those, 79% report agriculture as their primary economic activity. Studies show that women are more likely than men to spend their incomes on food, education, and healthcare to enhance their welfare and that of their children. Women are estimated to produce over 50% of all food grown worldwide and 60%–80% of the food grown in most developing countries. Yet, women and men often have different access to mechanisms of acquiring, protecting and utilizing productive assets. In many regions, legal rights to property or credit are not supported in fact through titling or lending practices. Empowering women as community leaders in social protection programming has been shown to have positive spill-over effects on the participation of women in economic decision making within households. Considering the important role of women in agriculture throughout the developing world, constraints on their access to and utilization of productive assets, including their own labor, can significantly undermine their economic potential and overall economic growth. USAID places a high priority on research that explicitly examines gender issues relative to all the substantive issues discussed above. However, even research activities that do not focus on gender issues explicitly should use gender as one lens of analysis and build gender considerations into research methodology (i.e., all data should be disaggregated for gender). Finally, the CRSP will be required to consider (1) how gender relations will affect the achievement of sustainable results under the CRSP; and (2) how proposed results will affect the relative status of men and women. Addressing these questions involves taking into account not only the different roles of men and women, but also the relationship and balance between them and the institutional structures that support them.

Impact Evaluation

One of the hallmarks of the Feed the Future Initiative is the commitment to accountability that is embedded in the initiative's strategy and implementation plans. Similarly, USAID has made a renewed commitment to base program design on sound causal models and evidence of efficacy

and impact. To this end, there is substantial demand in USAID for empirical research that documents the impact of development interventions, especially where this research can comparatively document various approaches or combinations of approaches currently or potentially used by Feed the Future development partners. Significant effort is being made to develop effective monitoring and evaluation mechanisms into FTF programming, as well as mobilize knowledge management mechanisms to support program design, program management and results reporting. It is expected that the AMA CRSP will contribute to the Agency's objectives under FTF by:

- i. Contributing to the Agency's (and development community's) body of evidence on effectiveness of various approaches to development challenges relative to food security, poverty reduction and agricultural development, especially where this evidence is comparative.
- ii. Developing and testing innovations, as input for USAID food security programming design and refinement;
- iii. Supporting efforts to refine USAID's M&E methodology relative to food security.

A.3.2 Other elements

The areas of inquiry outlined above are intentionally broad. The AMA CRSP is not expected to cover each topic comprehensively, or even to necessarily have a research activity in each of the areas mentioned. Instead the areas of inquiry outlined above are illustrative of USAID's interests and set the parameters within which the management entity of the AMA CRSP will be expected to craft a coherent program of high quality research activities. The AMA CRSP management will also be expected to conduct outreach and dissemination activities (i.e., hosting events, participating in USAID and other donor hosted events, producing and distributing appropriate materials and briefs.)

It is critical that the AMA CRSP strive to **achieve development impact**. It is assumed that this impact will come from the adoption of policy and/or programming recommendations that the research activities generate. In order to ensure policy/programming relevance, adoption of recommendations and subsequent development impact, the researchers are encouraged to engage with policy makers, USAID Mission staff, private sector representatives, and other stakeholders as appropriate even in early stages of the research design and implementation. All activities are expected to benefit a wide audience of users, including developing country policymakers and technical specialists, development practitioners from NGOs, other donors, and consultants, and USAID staff and projects. The activities are expected to be particularly relevant to country programs responding to new challenges of enhancing food security.

Each research activity is also expected to conduct **capacity building, training and institutional strengthening** to enhance skills and expertise among host country scientists, universities, research institutions and/or non-governmental organizations with which it works. This has long been a strength of CRSP efforts, and continues to be a high priority for USAID. The research activities should be designed to maximize long term degree training for host-country students, as well as shorter-term training for researchers and practitioners. Strategies for leveraging non-

USAID funds for training purposes are encouraged. It is hoped that the AMA CRSP programs will incorporate a variety of approaches for building capacity including degree programs, distance learning, web-boards or other communications technologies and communities of practice that link researchers, policy makers and development practitioners struggling with similar topics. Efforts should be made to ensure balance in access to training and capacity building opportunities in terms of the sex of trainees and other participants, and integrate appropriate gender sensitivity into all activities.

A.3.3 Management Approach

The successful university recipient of this award will establish a Management Entity (ME) that will be the primary liaison with USAID for this award, be responsible for the day to day management of the AMA CRSP research and outreach activities, and represent the AMA CRSP on the CRSP Council (<http://crsps.org/>). The quality of the work done under the AMA CRSP will depend upon the leadership, coordination and administration provided by the ME. One of the most important functions of the ME will be to establish and manage a portfolio of high quality and innovative research activities that speak to the needs of policy makers and development professionals both in the host country and more broadly. It will also be the responsibility of the ME to translate the potentially diverse portfolio of individual research activities into a coherent global program that addresses critical gaps in knowledge regarding specific development constraints and to synthesize findings across common themes in the research portfolio. While each research activity in the AMA CRSP's portfolio should have a communication and outreach strategy, it is the ME that supports these country-level strategies and ensures communication and outreach to policymakers and development professionals for impact more broadly.

Principal management responsibilities under this agreement shall be as follows:

- a. The ME will be responsible for putting in place a competitively selected portfolio of research activities in the broad topical areas outlined above. This includes issuing an RFA, managing the selection process and awarding sub-grants. The research activities should correspond to the needs and interests of USAID, the US university community, host country institutions, policy makers and practitioners. These research activities will be issued as sub-awards to selected U.S. institutions, but will be collaborative with host country institutions. The ME is encouraged to support research activities that have strong USAID Mission interest and involvement. No sub-award/research activity will be awarded where there is strong USAID Mission objection.

Research activities should maximize US-host country scientist collaboration and engagement with USAID Missions and local policy makers. The management entity could consider innovative use of grant cycles, planning grants or matching grants to facilitate this collaboration. For instance, part of the portfolio could be used to support more conventional research activities; while part could be awarded to conduct pilot activities that test innovative approaches. Applicants for funding such pilot efforts should work collaboratively with USAID Mission, other donors, NGOs and the private sector, and to leverage other sources of development funds.

- b. The Management Entity will be responsible for managing the portfolio of research activities. This will include facilitating communication across research activities to maximize synergies and avoid duplication, especially important where multiple research

activities are operating in the same host country. An annual technical committee meeting that brings together the lead PIs from each research activity can facilitate dialogue between activities. The ME should also actively support research sub-award efforts to engage the appropriate USAID Missions.

- c. The Management Entity will be the primary contact point to the AMA CRSP for USAID. They will be responsible for tracking progress of each of the research activities, and should make current information on research activities available through on-line trip reports and/or other mechanisms. The ME will be responsible for an annual implementation plan and annual reports, as well as quarterly updates, as described in Section IV.C.2 of this RFA. The ME should collect stories of successful integration of research findings into policy, programming or practices, and benchmarks towards such integration.
- d. The Management Entity will be responsible for drawing together of lessons learned and recommendations across research activities from its portfolio to form a set of coherent overall program results. It is recommended that the ME identify specific themes that run across the portfolio, once the research activities are selected. These themes should speak to areas of interest for policy and programming constituencies in the host country(ies) of each research activity, as well as in USAID and the broader development community. The ME, working with its PIs, should then synthesize important findings, lessons and recommendations across these themes.
- e. The Management Entity will be responsible for administration of associate awards received from USAID's missions and Washington-based operating units. Work under the associate award may be conducted by the management entity or by candidates identified by the management entity. No further competition is required; however, the management entity may choose, or may be asked, to hold a competition to identify appropriate candidates.
- f. Within reason, the Management Entity will be asked to act as an "on call" advisor and intellectual resource to USAID in the substantive areas associated with Assets and Market Access as outlined above. They may be asked periodically to comment on strategy documents, make presentations to USAID staff, or participate in USAID- sponsored events related to the topics and themes on which they work.

Associate Awards

Associate Awards under the LWA may or may not be funded, depending on USAID Mission and other Office funding for agriculture and rural development or climate change adaptation in rural agricultural communities and Mission strategies for providing assistance. It is expected that three types of Associate Awards would be particularly relevant to USAID programs:

- 1) Research activities;
- 2) Pilot projects to test proof-of-concept for new, innovative approaches;
- 3) Impact evaluations.

Applicants should describe their proposed arrangements and strategies for responding to and promoting Requests for Applications for Associate Awards (RFAAAs).

A.4 Expected Results and Performance Monitoring

The CRSP will conduct research that yields concrete and applicable recommendations for policy, practices and programming in the substantive areas outlined above. Outreach activities will be built into the research design and implementation as a way to encourage policymaker, practitioner, and private sector engagement and interest in research outcomes. Additional strategies for ensuring research will be relevant to and utilized by policy makers, practitioners, the private sector and development professionals should be considered. This may include building research activities up against planned or existing development programs that are conducted by a USAID Mission or other donor organization, or that are being undertaken by the host country government or private sector. In this instance, research can form the basis for baseline surveys and can inform project design or refinement. Alternatively, research activities could be designed as pilot tests of innovations. Again, support by the appropriate Mission, policy makers and/or private sector practitioners would be key to ensure replicability and adoption. In FTF countries, outreach to and partnering with FTF programs, CAADP representatives and other stakeholders is highly encouraged. Participation in Mission strategy development and assessments can be a powerful way of bringing research to bear on development programming directions. At a minimum, research activities, and the AMA CRSP as a whole, should utilize policy briefs, stakeholder meetings and other tools and mechanisms to make the research more accessible to policy makers, practitioners and development professionals.

The ME will be asked to identify its targeted development outcomes in response to USAID priorities as outlined above that should shape the selection of its research portfolio. Development outcomes will be identified at the country level. However, as the CRSP is intended as a global program that aims to shape the understanding and approach to development at a higher level, targeted development outcomes at this global level should be identified. For instance, considering the deeper investments in weather index insurance, the CRSP may seek to increase the number of USAID Missions that build insurance into their agricultural development programming. Targets could also outline changes in an approach taken or uptake of a policy, product or practice identified through CRSP investments.

In order to be able to show incremental progress toward achievement of these outcomes, the AMA CRSP should develop and report on a series of benchmarks for both individual research activities and for the overall CRSP program. These benchmarks will be used to show movement toward and increased likelihood of having recommendations adopted, and of achieving development impact, even after the time horizon of the CRSP. Such benchmarks might include stakeholder/policy maker engagement in research design, implementation and results reporting (measured by active attendance at stakeholder meetings, participation in training); researchers are asked to take part in government panels or commissions; researcher participation in Mission strategies, assessments, program design, etc.; participation of development community at CRSP hosted outreach events; and participation of AMA CRSP supported researchers in development community events. In the response to this RFA, the applicant will propose appropriate benchmarks at the global and country levels. Benchmarks, especially at the country level, should be refined and made more specific once research activities are selected.

The CRSP will be evaluated, in part, on its achievement of these development outcomes, as well as achievement of benchmarks toward these outcomes. The AMA CRSP should make progress toward these outcomes by generating recommendations on policies, institutional innovations, and

development programming that will lead to these development outcomes if adopted. Success, therefore, shall be measured in part by both the generation and adoption of such recommendations.

Finally, it is expected that the AMA CRSP will produce a variety of outputs over the course of its five-year award period. It is anticipated that each research activity will yield multiple peer reviewed journal articles. Synthesis activities and conference events could be encouraged to pursue publication of special issues of journals dedicated to research themes. In addition, however, the AMA CRSP is expected to produce briefs or other materials that make the research and findings more accessible to policy makers, development professionals and lay people. These materials should be written in non-academic language, be geared toward problem solving and contain concrete recommendations for policy reform, institutional innovation or improvements to programming. Effort should be made to generate briefs and other materials on special development/application topics throughout the life of the project—not just at the completion of research activities.

A.4.1 Performance Monitoring Plan: The Recipient shall operate with a focus on achieving developmental results and impacts. A Performance Monitoring Plan (PMP) will be completed as part of the Life-of-Program Work plan and will provide for routine monitoring and reporting focusing on program performance and impact. Specific performance and results indicators will be built into all Program activities. See Annex C for a list of possible indicators. The Recipient will report on indicators such as are summarized in the following illustrative example. The applicant will need to project its annual and five year targets. Illustrative indicators for the program are presented below.

Indicator	Annual targets				5-year Targets
Process Milestones/Indicators					
Program Evaluations/Feasibility Studies completed					
Technical briefs and good practices papers disseminated					
Number of peer-reviewed academic journal articles published					
Number of policy/programming guidance events conducted					
Research Milestones/Indicators					
Number of new technologies or management practices in one of the following phases of development: <ul style="list-style-type: none"> Phase 1 - Number of new technologies or management practices under research as a result of USG assistance Phase 2 - Number of new technologies or management practices under field testing as a result of USG assistance Phase 3 - Number of new technologies or management practices made available for transfer as a result of USG assistance" 					
Capacity Building Indicators					
Number of individuals who have received USG supported <u>long-term</u> agricultural sector productivity or food security training					
Number of individuals who have received USG supported <u>short-term</u> agricultural sector productivity or food security training					
Number of farmers and others who have applied new technologies or management practices as a result of USG assistance					
Number of stakeholders implementing risk-reducing practices/actions to improve resilience to climate change as a result of USG assistance					

Policy Milestones/indicators					
Number of policies/regulations/administrative procedures in each of the following stages of development as a result of USG assistance in each case: <ul style="list-style-type: none"> • Stage 1 Number of policies / regulations / administrative procedures analyzed" • Stage 2 Number of policies / regulations / administrative procedures drafted and presented for public/stakeholder consultation • Stage 3 Number of policies / regulations / administrative procedures presented for legislation/decreed • Stage 4 Number of policies / regulations / administrative procedures prepared with USG assistance passed/approved • Stage 5 Number of policies / regulations / administrative procedures passed for which implementation has begun 					

B. KEY PERSONNEL

The one Key Personnel position for the Program will be the AMA CRSP Program Director. The Program Director shall have over-all responsibility for the implementation of the CRSP Program and shall be the principal point of contact for USAID for issues in regarding program planning and implementation. The Program Director will be responsible for activity coordination, planning, Work plan development, program reporting, over-all program monitoring and evaluation, and coordination and representation of the Program with USAID and other stakeholders. The proposed director for the AMA CRSP should be a respected academic with significant experience in leading research in the substantive areas outlined above. He/she should hold a PhD in an appropriate social science discipline (e.g., Economics, Agricultural Economics, Anthropology, and Geography) and have at least 20 years' experience in international development research. He/she should be a recognized expert within both academic and development communities, and be able to demonstrate leadership roles in a variety of academic and development arenas. Experience in gender integration will be favorable. A strong relationship with relevant private sector entities is also desirable. USAID prefers that the proposed director be a tenured faculty member at the recipient university.

C. ADMINISTRATION

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S., Nongovernmental Recipients will be applicable. USAID prefers that instead of attaching complete copies of 22 CFR 226 and the OMB Circulars to the RFA, applicants obtain copies at the following locations:

22 CFR 226 - http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

OMB Circulars - <http://www.whitehouse.gov/omb/circulars/>

Standard Provisions – see Annex E to this document

SECTION II – AWARD INFORMATION

A. ESTIMATED FUNDING LEVEL AND LIFE OF PROJECT

Subject to the availability of funds, USAID intends to award one five-year Leader Award up to \$18,000,000. Associate awards are anticipated to be up to \$7,000,000 over the life of the agreement for a total cumulative estimated amount up to \$25,000,000 for the first five-year agreement. Considering current budgetary constraints the applicant should use an initial (year 1) core funding level of \$2,700,000 for budgetary purposes. The Leader and Associate awards shall specify the Total Estimated Award (TEA) amount for the Cooperative Agreement allocated over the five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

USAID reserves the right to award without discussions. Therefore, each application should contain the applicant's best terms from a technical and cost standpoint. However, USAID also reserves the right to hold discussions if deemed necessary.

Neither financial data submitted with an application nor representations concerning facilities or financing will form a part of the resulting Cooperative Agreement.

B. ANTICIPATED START DATE AND PERFORMANCE PERIOD

USAID anticipates a start date on or about March 2012 and a performance period of 5 years.

C. AWARD TYPE AND SUBSTANTIAL INVOLVEMENT

Award Type The Government intends to award one Cooperative Agreement resulting from this RFA to the responsible applicant whose application conforms to this RFA offering the greatest value in furthering the goals of the Program (see also Section I of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

Substantial Involvement The intended purpose of Agreement Officer's Technical Representative (AOTR) involvement during the Leader award is to assist the recipient in achieving the supported objectives. The Agreement Officer has delegated the following approvals to the AOTR, except for changes to the Program Description or the approved budget. Such changes, as first reviewed by the AOTR, shall only be approved by the Agreement Officer.

Substantial involvement will be limited to:

1. Review and comment on annual implementation plans for the Leader Award.
2. Approval of specified key personnel.

The CRSP Program Director shall be designated as Key Personnel position for USAID approval.

3. Agency and recipient collaboration or joint participation.

- a. Collaborative involvement in selection of members of advisory committees. USAID may also choose to become a member of these committees. Advisory committees shall concern themselves only with technical or programmatic issues and not routine administrative matters;
- b. USAID will review and comment on the solicitation for research activity sub-awards;
- c. USAID will participate with voice and vote, but not veto, in the selection of sub-award recipients; and
- d. USAID will approve the recipient's monitoring and evaluation plan.

Specific substantial involvement provisions for Associate Awards will be identified for each award. These provisions may include (a) Approval of recipient's implementation plans; (b) Approval of specified key personnel; and (c) Agency and recipient collaboration, joint participation or approvals. The Mission or other office/bureau commissioning activities through an Associate Award will propose terms for substantive involvement, but terms for the Associate Awards should be consistent with the Leader Award.

SECTION III – ELIGIBILITY INFORMATION

A. TYPES OF ENTITIES THAT MAY APPLY

Section 269(d) of Title XII of the Foreign Assistance Act, as amended, defines an eligible university or college as:

“... those colleges or universities in each State, territory, or possession of the United States, or the District of Columbia, now receiving, or which may hereafter receive, benefits under the Act of July 2, 1862 (known as the First Morrill Act) or the Act of August 30, 1890 (known as the Second Morrill Act), which are commonly known as ‘land-grant’ universities; institutions now designated or which may hereafter be designated as sea-grant colleges under the Act of October 5, 1966 (known as the National Sea Grant College and Program Act), which are commonly known as sea-grant colleges; Native American land-grant colleges as authorized under the Equity in Educational Land-Grant Status Act of 1994 (7 U.S.C. 301 note); and other United States colleges and universities which – (1) have demonstrable capacity in teaching, research, and extension (including outreach) activities in the agricultural sciences; and (2) can contribute effectively to the attainment of the objectives of this title.”

Additionally, to be eligible, applicants must: (1) demonstrate an established capacity to provide the technical services and expertise to support the Collaborative Research Support Program; (2) have a proven track record in managing applied research programs, and promoting agricultural and rural development; (3) be legally registered in the United States; and (4) be able to meet USAID financial management standards to ensure funds accountability.

B. COST SHARING

Because the pursuit of CRSP research goals is intended to benefit both U.S. universities in improving U.S. agricultural and economic development, as well as USAID efforts to achieve development results from its provision of foreign assistance, each CRSP is required to match the federal funds provided by USAID. The cost share must consist of non-federally funded contributions (in cash or in kind) that meet all the criteria detailed in 22 CFR 226.23, and should be discussed in detail within the budget narrative. The applicant should determine the appropriate cost share and the sources for meeting this cost share within the overall program. The recipient is responsible for meeting the cost share commitment regardless of intended sources.

See CFR 226.23 for additional information on cost sharing.

C. APPLICATIONS FROM POTENTIAL NEW PARTNERS

USAID strongly encourages applications from potential new partners.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. APPLICATION FORMAT AVAILABILITY

All application materials are contained in or referenced in this RFA and available on www.grants.gov. If there are problems in downloading the RFA from www.grants.gov, please contact the Federal Grants Help Desk at 1-800-518-4726 or support@grants.gov for technical assistance.

B. FORM OF APPLICATION SUBMISSION

The chart below lists each element required for submission of a complete application.

What To Submit	Required Content	Required Form or Format
1. Application for Federal Assistance	Per required form, as described in Section IV.C.3	SF-424
2. Technical Application	Narrative as described in Section IV.C.1,2, 4	Word
3. Cost Application <ul style="list-style-type: none">Budget Information – Non Construction ProgramsCost spreadsheetsBudget narrativeSupporting Documentation	Per required form, as described in Section IV.C.5.a As described in Section IV.C.5.b As described in Section IV.C.5.c As described in Section IV.C.5.d	SF-424A Excel Word
4. Certifications, Assurances, and Other Statements of the Recipient <ul style="list-style-type: none">Assurances – Non Construction ProgramsCertifications, Assurances, and Other Statements of the Recipient (May 2006)	Per required form, as described in Section IV.C.6.a As described in Section IV.C.6.b	SF-424B See Annex H

C. THE REQUIRED FORMAT FOR THE APPLICATION

C.1 PREPARATION AND SUBMISSION GUIDELINES

All applications received by the date and time indicated in the cover letter will be reviewed for responsiveness to the specifications outlined in this RFA. Applications received after the deadline may not be considered. The application must be prepared in accordance with the structural format set forth below and should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of the program. While applicants are expected to follow the format and the instructions contained therein, they should also be aware of the

Selection Criteria in the solicitation and ensure that their applications reflect and address these criteria.

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below:

Page Limits: The application must address all items requested under the sections listed below. The technical application must **not exceed forty (40) pages**. Both the overall page limit and the individual section page limit must be adhered to. Pages in excess of stated limitation will not be considered. However, the list of items with no page limits below is not included in either count.

The technical application will include the following sections with page limits for each section as noted in parentheses.

Technical Application (40 pages)

- (1) Cover Page (1 page)
- (2) Executive Summary (3 pages)
- (3) Technical Approach (16 pages)
- (4) Management Approach (10 pages)
- (5) Sample Solicitation (10 pages)

There are no page limits for the items listed below:

- Table of Contents
- Dividers
- Past Performance
- Appendix: Curriculum Vitae (CV) for the proposed Director

The hard copy application submitted will be used for the official page count.

Cost Application (No page limit)

C.2 OTHER INSTRUCTIONS

- a) Applications must be prepared in English.
- b) Narrative portions of the application must be prepared in Microsoft Word in Times New Roman font size 12. The budget portions of the cost application must be prepared in Microsoft Excel with formulas shown. Certifications and other signed pages may be submitted in Adobe Acrobat.
- c) Page size cannot exceed 8 ½ x 11” for the technical proposal and 8 ½ x 14” for the cost proposal.
- d) All pages except for the cover page must be numbered. Technical and cost applications must be numbered separately.
- e) The technical application must have a table of contents following the cover page.

C.3 APPLICATION FOR FEDERAL ASSISTANCE

The applicant must complete SF-424, Application for Federal Assistance, as indicated by the form. The form will be posted with the RFA at www.grants.gov.

C.4 TECHNICAL APPLICATION FORMAT

C.4.1 Cover Page: The cover page shall include the name of the lead applicant applying for the award. If any partner organizations are included in the proposal, they shall be listed separately, and indicated as subordinate to the principal organization. A summary table shall be included that lists the prime applicant and all partner organizations as well as the percentage of overall program activities that each partner will contribute. The cover page shall also identify a point of contact, hereafter referred to as the “agent,” with the authority to negotiate and sign on behalf of the applicant. The individual's name (both typed and his/her signature), title or position in the organization, email and postal addresses, telephone and fax numbers shall be included.

C.4.2 Executive Summary: This section shall provide a concise summary of the applicant’s proposed program description, program methodology and expected results.

C.4.3 Technical Approach: Within the proposal, applicants shall describe the proposed program and how it will effectively address existing constraints and opportunities. The Technical Application shall include the following sections:

C.4.3.1 Technical Leadership: The applicant should describe an overall vision for a portfolio of high quality, innovative research activities consistent with the themes discussed in the program description that are designed to achieve long-term development impact on host country beneficiaries and contribute to a global learning agenda on specific development themes. The application should summarize important trends and state of knowledge of the Assets and Market Access “areas of inquiry” as discussed in the program description of this RFA. This is not intended as a literature review. A conceptual framework that shows the interrelationships between the substantive areas and establishes some priorities for directing research should be provided. The application should explain how the program will capitalize on the lessons learned from the BASIS AMA CRSP and work of other relevant donors, universities or research institutes as determined by the applicant.

The Assets and Market (AMA) CRSP will be required to use gender as a lens of analysis in research activities. Whenever possible and applicable, policy and programming recommendations should include guidance on how best to strengthen women’s economic participation and leadership. The technical application should describe how gender considerations will be incorporated into the overall program and into specific activities. Discussion of importance gender issues relevant to assets and market access should be provided to demonstrate the applicant’s conceptualization of gender.

C.4.3.1 Achieving Development Impact: This discussion must include a strategy for achieving long-term development impacts through the completion of intermediate results and benchmarks as discussed in the program description Section C. The applicant should indicate the process by which the more specific indicators will be developed. The applicant should be on notice that their proposed results and indicators will be incorporated in the award document. The

application should show an understanding of the US Government's Global Hunger and Food Security Initiative, also known as Feed the Future (FTF), as discussed in the program description, and the relationship of FTF objectives to the AMA areas of inquiry. The application should also outline a strategy for dissemination of knowledge and recommendations in a manner that leads to engagement of and influence on USAID Bureaus and Field Missions, host-country policy makers and practitioners, as well as other development and donor organizations.

C.4.3.2 Training and Capacity Building: The application must include a strategy to maximize long-term degree training opportunities for developing-country nationals. Strategies that leverage funds for training from other sources are preferable. The application should also describe approaches for short-term training that will benefit developing country researchers, policymakers and civil society representatives. Efforts should be made to ensure balance in access to training and capacity building opportunities in terms of the gender of trainees and other participants, and integrate appropriate gender sensitivity into all activities (see USAID policy in ADS 253.3.8).

The application should describe the strategy(s) that will be utilized to (1) increase the capacity of developing-country universities and research institutions to analyze relevant policies, governance issues and institutional environments, develop appropriate recommendations, and conduct outreach to key government and non-governmental actors for adoption of recommendations; and (2) increase the capacity of developing-country policy makers and non-governmental organizations (NGOs) to critically assess and effectively implement AMA CRSP recommendations.

C.4.3.2 Management Approach: The application must include a proposed management structure for the CRSP, including the structure of the CRSP's administrative and advisory bodies. The role and responsibilities of the CRSP leadership (the Management Entity, or ME) and the relationship envisioned between the ME and its individual research activities must be described. A streamlined management structure that minimizes administrative costs in order to maximize research, outreach, and capacity building activities is encouraged.

Applicants must describe the proposed CRSP management structure and approach with focus on the following elements:

- Organizational structure, including proposed lines of responsibility, authority and communication, and procedures to ensure productivity as well as cost and quality control;
- A strategy for synthesized planning, reporting and analysis across research activities, to include monitoring of both sub and associate awards, that result in on-going improvement of activities and evaluation for lessons learned and reporting of results;
- A plan for open and transparent competition, selection and management of sub-awards. This plan should describe how the AMA CRSP will attract broad participation of U.S. Universities including Minority Served Institutions (MSI). The applicant should include discussion of how they will ensure a participatory process between U.S. University community, host country researchers and development partners, and other stakeholders in defining the research agenda and implementing research activities. Specific discussion of how the CRSP will encourage Mission engagement in research activities and, at minimum, will avoid awarding research activities against a Mission's objection should be included. Establishing a facility or mechanism within the CRSP to partner with Missions on innovation pilots and/or impact evaluation is encouraged. The applicant's plan should

include safeguards to avoid conflicts of interest in the solicitation, submission and evaluation of sub-awards;

- The process by which associate awards will be implemented. The capacity of the management entity to implement associate awards directly or identify appropriate resources to ensure successful implementation.

C.4.3.4 Staffing and Key Personnel: The Application shall propose a Program Director, describe his/her role and responsibilities for Program leadership and implementation, describe the individual's qualifications for this position, and include a full CV of the proposed director as an appendix. The proposed director should hold a PhD in an appropriate social science discipline (e.g., Economics, Agricultural Economics, Anthropology, and Geography) and have at least 20 years experience in international development research. He/she should be a recognized expert within both academic and development communities. USAID prefers that the proposed director be a tenured faculty member at the recipient university. Within the narrative, the application should describe the strengths of the proposed director to provide leadership and build a cohesive program from a potentially diverse set of research topics; to lead an international, collaborative research community; and to successfully link research with development practices and policy change. The applications should also explain any other management entity personnel, their roles and responsibilities, and explain how possible attrition of staffing (in particular, replacement of director) will be addressed. The application narrative should explain the time allocation of staff that is less than full time.

The Application shall list at least three references for the proposed candidate for Program Director with **current** phone numbers and email addresses. These shall be listed in an attachment along with references for organizational institutional past performance. As part of this review, USAID may contact some of the references. [Note: In addition to the references provided by the applicant, USAID may also contact other individuals knowledgeable about the proposed individual's performance, technical qualifications, and leadership abilities and may draw on information from other sources, including, but not limited to other government agencies, published media, and electronic data bases.]

C.4.3.5 Past Performance: Past performance is the degree to which an applicant completed related work successfully, satisfied its customers/sponsors under past agreements, and complied with relevant laws and regulations. The applicant should also use the past performance references to demonstrate capacity for creativity and leadership, to deliver high-impact results, and effectively partner with universities, policy makers, practitioners and donor organizations (may include USAID).

The applicant must provide a list of all its contracts, grants, or cooperative agreements involving similar or related programs during the past three years. Relevant references up to ten years old may also be submitted. No references older than ten years will be considered. Applicants will be evaluated on past performance both of the institution(s) (i.e., the applying university) and of the proposed director. The applicant must provide at least three (3) relevant past performances references for each. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers.

As part of this review, USAID may contact some of the applicant's past or current customers and partners to find out whether the applicant (1) exhibits creativity and leadership in this field of inquiry; (2) was capable, efficient, and effective in carrying out both the intellectual leadership and administrative responsibilities of the activity; (3) conformed to the terms and conditions of its contract/agreement/grant; and (4) was responsive to and collaborative with sponsor during the activity implementation. In addition to contacting some of the references provided by the applicant USAID may also contact other sources of information, including, but not limited to: other government agencies, better business bureaus, published media, and electronic data bases. For institutions or proposed personnel who have been previously involved with CRSPs, USAID may consider such sources as past Administrative Management Reviews and External Evaluation Reports, past partners and collaborators, and the AOTR.

Please use Annex G to assist with Past Performance Information.

C.4.4 Sample Solicitation: The application should include a sample solicitation that could be used to solicit applications for individual research and pilot activity sub-awards. The sample solicitation will illustrate how the prospective CRSP management entity would organize the substantive areas of inquiry, present requirements for training/capacity building and development impact, and promote Mission and developing-country policy maker engagement to the prospective sub-awardees. This sample RFA does not need to include all contractual details that may be required by the issuing university, such as budget formats or other submission information. Instead, what is of interest is the program description and instructions to applicants.

C.5 COST APPLICATION FORMAT

The cost application is to be submitted under separate cover from the technical application and shall include specific cost information for this program and additional required information from the applicant. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility.

The cost application must cover the budget for all core funds. While the yearly funding levels are unknown, the five-year budget can use indicative levels and correspondingly should identify any illustrative activities. The application will be assessed for cost effectiveness, and applications that minimize management costs in order to maximize research, outreach, and capacity building activities will generally be considered a better value.

The cost application must include the following:

- a. SF-424A, Budget Information – Non Construction Programs. The applicant must complete the SF-424A in its entirety for the Leader award budget only. (See Section II.A for the Government Estimate of funding available for the Leader Award.) The Associate Award budgets should not be proposed at this time; the Government estimate for the Associate awards is provided so that the recipients understand the magnitude of the program. This form will be posted with the RFA at www.grants.gov.

- b. **Cost Spreadsheets.** Cost spreadsheets must be prepared in Excel and detail the breakdown of each line item captured in the SF-424A. The Excel spreadsheets must be submitted electronically and be text accessible. Spreadsheets must include the following detail:
- i. Separate costs for the applicant, each proposed assistance subrecipient, and each proposed procurement contractor involved in the program;
 - ii. The name, annual salary, fringe benefits, and expected level of effort for each person to be directly charged to the program, including regular personnel and consultants;
 - iii. A breakdown of the financial and in-kind cost share contributions, converted to dollar value, of all organizations involved in implementing the Cooperative Agreement. Indicate clearly if the cost share will be in-kind or cash in the budget and budget narrative;
 - iv. Allowances by type and by person;
 - v. Travel and per diem costs must be detailed according to the number of trips, destination, number of per diem days, and applicable per diem rate;
 - vi. Each type of “other direct costs” must be listed as a separate line item (including but not limited to passports, visas, equipment, and facility costs) indicating quantity and per unit cost.
- c. **Budget Narrative.** Narrative cost notes must be provided containing detailed explanation regarding each cost proposed. The budget narrative must be written in third person. Detail must be adequate for USAID to evaluate the necessity, reasonableness, allocability, and allowability in accordance with applicable cost principles of each cost element. The budget narrative must include the following detail:
- i. If not included in an indirect cost rate agreement with the U.S. Government, specify the applicable fringe benefit rates for each category of employee, and all benefits covered by the rate;
 - ii. Explanation regarding the proposed cost share: The applicant should determine and propose the appropriate cost share and the sources for meeting this cost share within the overall program. The cost share must consist of non-federally funded contributions (in cash or in-kind) that meet all the criteria detailed in 22 CFR 226.23, and must be discussed in detail within the budget narrative. The recipient is responsible for meeting the proposed cost share commitment regardless of intended sources. The applicant should determine the appropriate cost share and the sources for meeting this cost share within the overall program. Cost share, once accepted, becomes a condition of payment of the federal share;
 - iii. An explanation of the basis for budgeted allowances. All allowances must be in accordance with the U.S. Department of State’s policies on Allowances and Differentials and consistent with the applicant’s written personnel and compensation policies;
 - iv. Travel, per diem, and other transportation expenses must be fully described including departure and destination locations, the reason for the proposed trip,

- the source(s) of airline quotations, the number of per diem days, and the source and rate of the per diem rate used; and
- v. The basis for proposed other direct costs, including the source of any estimate. If equipment is proposed, an equipment list must be provided detailing the budgeted cost of each item and the source of the estimate.
- d. Supporting Documentation. An annex to the budget narrative must contain the following supporting documents and information.
- i. A current Negotiated Indirect Cost Rate Agreement (NICRA) with USAID, an Indirect Rate Agreement with another federal agency, or financial statements as described below for the Management Office and proposed partner organizations must be submitted.
 - ii. Applicants that do **not** currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
 - 1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 - 2. Projected budget, cash flow and organizational chart; and
 - 3. Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel.
 - iii. Applicants must submit any additional evidence of responsibility so that the Agreement Officer may make a determination of responsibility. The information submitted must be provided in third-person and substantiate that the Applicant:
 - 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 - 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant - nongovernmental and governmental;
 - 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 - 4. Has a satisfactory record of integrity and business ethics; and
 - 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
 - iv. Applicants that have never received a grant, cooperative agreement, or contract from the US Government are required to submit a copy of their accounting manual and personnel and policy manual. If a copy has already been submitted to the US Government, the applicant must advise which Federal Office has a

copy, and provide a point of contact with contact information (i.e., phone number).

C.6 CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

The following certifications are required:

- a) Assurances-Non Construction Programs. Applicants must complete the SF-424B, Assurances – Non Construction Programs, as indicated on the form. This form will be posted with the RFA at www.grants.gov.
- b) The required certifications and assurances, as established at ADS 303.3.8, which can be found in Annex H of this RFA:
 - 1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;
 - 2. Restrictions of Lobbying (See 22 CFR 227);
 - 3. Prohibition on Assistance to Drug Traffickers (See ADS 206).
 - 4. Certification Regarding Terrorist Financing in accordance with AAPD 04-14. (Please note that this certification requires the applicant to ensure that recipients of subcontracts and grants are not listed as Specially Designated Nationals and Blocked Persons by the U.S. Treasury's Office of Foreign Assets Control.);
 - 5. Key Individual & Participant Certification Narcotics Offenses and Drug Trafficking
 - 6. Survey on Ensuring Equal Opportunity for Applicants; and
 - 7. Other Statements of the Recipient

D. THE DEADLINE FOR SUBMISSION OF APPLICATION

Applications must be submitted via www.grants.gov following the instructions on the website and be received by the closing date and time indicated at the top of the RFA cover letter. In the event of technical difficulties preventing submission through www.grants.gov, the application may be submitted via e-mail to Christine Dwulet (cdwulet@usaid.gov) and Natalie Thunberg (nthunberg@usaid.gov). The date and time the e-mailed submission is received by the USAID contact person indicated below will be used as a measure of timeliness.

In addition, the original, two hard copies, and one CD-ROM version must be submitted. The CD-ROM version must contain the files that were prepared in Word and Excel in a text accessible format (MS Office 2003 compatible) and all signed pages must be submitted as a pdf file. The original must include original signatures. The technical and cost applications shall be submitted in a single volume three ring binder with a divider separating the two. Hard copies must be submitted in a package with the name and address of the applicant and RFA number inscribed, to:

Attention: Christine Dwulet
Hand-carried:

Via US Postal Service/UPS/ FedEx:

US Agency for International Development
SA-44 Room 562-C
1300 Pennsylvania Avenue N.W.
Washington, DC 20523

US Agency for International Development
301 4th Street, SW
Washington, DC 20547
From lobby call ext. 74191
Attention: Christine Dwulet

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. If there is a conflict between the hard copy of the application and the electronic version of the application, the hard copy version will be used as the official application. Applications which are incomplete may not be considered in the review process.

It is the responsibility of the applicant to ensure that the application is received in hard copy, via email and that it has been submitted in Grants.gov in its entirety. USAID strongly recommends applicants to deliver hard copy applications in person at USAID. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

E. FUNDING RESTRICTIONS

- a) Funding for the Assets and Market Access Collaborative Research Support Program may be affected by future budget levels. Any and all funding is subject to the availability of funds to USAID.
- b) Authority to Obligate the Government. The Agreement Officer is the only individual who may legally bind the Government for the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.
- c) The Applicant is reminded that US Executive Orders and US law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Applicant/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.
- d) Foreign Government Delegations to International Conferences - Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AO <http://www.usaid.gov/policy/ads/300/350maa.pdf>.

F. OTHER IMPORTANT INFORMATION

- a) Acknowledgement of Amendments to the RFA. By submitting an application in response to this RFA, applicants acknowledge receipt of any amendments to the RFA.
- b) Preparation of Applications:
 - 1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
 - 2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
 - 3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the US Government except for evaluation purposes, should:
 - (a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the US Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a cooperative agreement is awarded to this applicant as a result of, or in connection with, the submission of this data, the US Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting cooperative agreement. This restriction does not limit the US Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets marked: "; and
 - (b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."
- c) Explanation to Prospective Applicants. Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.
- d) Branding and Marking Requirements. Per ADS 320. In an effort to more accurately credit the American people for the foreign assistance they finance, USAID has engaged in a branding campaign. Effective January 2, 2006, all USAID-sponsored assistance

awards are required to adhere to branding policies and revised marking requirements for grants and cooperative agreements in accordance with AAPD 05-11. This includes visibly displaying the USAID Standard Graphic Identity that clearly communicates assistance is, “From the American people” on all programs, projects, activities, publications, public communications, and commodities provided or supported through USAID assistance awards. AAPD 05-11 requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy.

<http://www.usaid.gov/policy/ads/300/320.pdf>

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf

- e) LWA Assistance Mechanism. This RFA is issued for a Leader with Associates Cooperative Agreement. The Leader Award will be issued to the successful applicant. USAID Missions, or other USAID operational units, may fund additional work through Associate Awards. These Associate Awards will each have their own activity description, but must fall within the overall scope of the Leader program description (as outlined in the Leader Award agreement), and will otherwise be considered to be covered by the terms and conditions of the Leader Award. The successful applicant will be the recipient of all funds for this Agreement, including for any Associate Awards. Responsibility for the core program under the Leader Award and any Associate Awards remains with the management office even though it may make sub-awards for implementation.

After the Leader Cooperative Agreement is awarded, a copy of the award will be sent to all Missions along with any necessary guidance or instructions regarding issuance of Associate Awards.

1. Issuance of Associate Awards. Prior to issuance of an Associate Award, the requesting office in the Mission (or USAID/W) shall consult with the Agreement Officer’s technical Representative (AOTR) in BFS. After receiving BFS AOTR concurrence, the appropriate Mission personnel shall request the Recipient to provide an Application for Associate Award (specific Program Description and budget) to the Mission. The Application shall be reviewed by the appropriate technical personnel, and the Cognizant Agreement Officer shall be responsible for cost review and negotiation of the Associate Award. The Mission has the discretion to decide whether or not to award the Associate Award. The cognizant Mission Agreement Officer and Mission AOTR are responsible for the administration of the Associate Award.
2. Grant vs. Cooperative Agreement. Regardless of whether the Leader instrument is a grant or cooperative agreement, Missions may issue an associate instrument as either a grant or cooperative agreement.
3. Competition. Once a recipient is selected pursuant to this LWA RFA, no further competition or waiver of competition is required for any Associate grants awarded

within the terms of the RFA. The competition under this RFA covers the initial Leader award, which will provide leadership for regional and/or worldwide activities and for subsequent Associate Awards providing support to missions and offices. In this manner, Missions and USAID/Washington bureaus may fund specific activities of the recipient that fit within the RFA/Leader program description through Associate Awards without further competition.

4. **Period of Performance.** The Leader award will be issued for a period of five years. Associate awards may be issued until the Leader award expires and can be for a period of performance up to five years past the expiration date of the Leader award.
 5. **Certifications.** The required certifications, including validation of the umbrella organization as a single entity with a single accounting system, shall be obtained from the applicant prior to award of the Leader cooperative agreement. Prior to award of an associate grant, the recipient must affirm that those certifications remain valid, or provide new certifications.
 6. **Reporting Requirements.** Reporting on both financial and performance for Associate Awards will be submitted directly to the Mission or Office that issues the Associate Award. The reporting frequency (i.e. semi annually or annually), content, and format will be established in the Associate Award schedule. Copies of this reporting must be provided to the BFS AOTR for the Leader Award for the AMA CRSP.
 7. For more information on Leader with Associates Awards, applicants are referred to CIB 99-10 http://www.usaid.gov/business/business_opportunities/cib/pdf/cib9910.pdf.
- f) **Geographic Codes.** In accordance with the limitations on USAID's ability to procure goods and services outside of the United States (see the Foreign Assistance Act of 1961 and 22 CFR 228), source and origin of goods and nationality of suppliers of goods and services under the project will be from the United States, Geographic Code 000. Some local procurement is also allowed.
- Code 000 - The United States of America, any State(s) of the United States, the District of Columbia, and areas of US Associated sovereignty, including commonwealths, territories and possessions.
- g) **Initial Environmental Examination (IEE).** The AMA CRSP is intended as a mechanism for social science research. It is assumed that most research activities will focus primarily on public policies, private and public sector institutions and both formal and informal systems which shape the socio-economic context in which development occurs. Notwithstanding the fact that the focus is not on physical or production science, per se, policy, institutions and programming related to asset building and use can have a significant impact on the environment—broadly defined. This would include not only issues related to the natural resource environment, but also such issues as cultural impacts, indigenous people's rights and environmental justice. It will be incumbent on the Management Entity to ensure that environmental issues are considered and incorporated into its research, training and outreach activities. To this end, the management entity should identify the consideration of environmental issues, as appropriate, in both solicitations for sub-awards and as a selection criterion.

It is assumed that research activities would not plan on using or recommending pesticides or genetically modified organisms (GMOs). In the unlikely occurrence of an activity wishing to use or recommend pesticides or GMOs, an amended IEE for pesticide use would be prepared and approved by the BFS Bureau Environmental Officer before the activity took place.

Based upon this structure, it has been determined that a categorical exclusion for the management entity is appropriate based upon the USAID's projected range of research, training and outreach activities anticipated for this project. These activities may include such things as research into effective mechanisms for rural credit provision and agricultural risk management, asset-based drivers of chronic rural poverty and asset protecting social safety-net options, and explorations of land and labor market linkages and their impact on food security. It is understood that the actual research activities will be determined by a competitive process with the management entity ensuring that any sub-awards for research activities will be reviewed for environmental issues as appropriate.

SECTION V – APPLICATION REVIEW INFORMATION

A. EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications, and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The review and selection process consists of a Technical Evaluation Committee supported by the Agreement Officer. The technical applications shall be evaluated in accordance with the Technical Evaluation Criteria set forth below relative to the information provided to applicants in Section A. II and in the Program Description (Section I) of this RFA. An award will be made to a responsible applicant whose application offer the greatest value, cost and other factors considered.

A.1 TECHNICAL EVALUATION CRITERIA

The Technical Evaluation Committee will evaluate the applications' relative strengths and weaknesses against the evaluation criteria listed below. The total for all evaluation criteria is 100 points.

A.1.1 Technical Approach (40 points):

The applicant will be evaluated on their application relative to the elements outlined in the technical application format of this RFA, with point distribution for each element as follows (with sub-points in descending order):

A.1.1.1 Technical Leadership:

The application will be evaluated for the clarity and compelling nature of its conceptual framework and its articulation of recent trends and critical issues related to the Asset and Market Access broad themes, including gender, as discussed in the program description. It will also be judged on its vision for the role this university-led collaborative research can play in improving developing country policy and institutional environments, and donor (i.e., USAID)-supported programming.

A.1.1.2 Achieving Development Impact

The application will be judged on its overall approach and potential for achieving development impact including the approach to insure utilization of research findings by the research community, development practitioners, host country policy makers and the donor community, particularly USAID field Missions and bureaus. The application will also be judged on its discussion of program issues relative to Feed the Future. Finally, the application will be judged on the logic, feasibility and appropriateness of the strategy, results indicators (benchmarks) and expected development impacts outlined in the recipient's program description.

A1.1.3 Training and Capacity Building

The application will be evaluated for the logic, feasibility and appropriateness of its proposed strategy for maximizing training and capacity building as discussed in the program description.

A 1.2 Management Approach (30 points)

The applicant shall be evaluated upon logic, transparency and efficacy of the proposed management structure and approach. Of particular interest are the proposed staffing and organizational structure; strategies for planning, reporting and synthesis of findings across research activities, for competing, selecting and managing research activities and for ensuring effective outreach and utilization of research findings. Mechanisms for effectively engaging and collaborating with USAID Missions are encouraged. The qualifications of the proposed director, as discussed in Section I, will also be considered.

A.1.4 Sample Solicitation (20 points)

The sample solicitation will be evaluated for its likelihood of generating a portfolio of activities that meet the research, training/capacity building and development impact requirements of the CRSP as discussed in the program description.

A.1.3 Past Performance (10 points)

Applicants shall be evaluated based on past performance references on relevant current programs or those completed during the past ten years. Any past performance references older than ten years will not be evaluated. Applicants will be evaluated on past performance both of the institution(s) (i.e., the applying university and any partner organizations) and of the proposed director. Past performance will be evaluated on whether they indicate creativity and leadership in areas related to Assets and Market Access, the degree to which the applicant is reported to have been effective, efficient, capable, reasonable and cooperative; whether the applicant conformed to the terms and conditions of the contract/agreement/grant application; and client satisfaction. The applicant's technical accomplishment in international research on assets (including land, finance capital markets, labor and social capital), risk and market access (including input, factor and output markets), as well as the applicant's ability to form strong partnerships with a range of research institutions/organizations in both the U.S. and host countries will also be evaluated closely.

A2. COST APPLICATION

Cost Applications will not be scored, however, the results from its analysis have scoring implications. The overall costs and pricing are expected to be fair, reasonable, allowable, allocable and cost effective, and shall be subject to a cost realism analysis. Cost share, and other leveraged resources that the Applicant and any partners propose to engage in the implementation of the Leader Award, will also be evaluated as a measure of cost effectiveness. Cost share determination must be clearly marked as in-kind or cash contribution.

Furthermore, the applicant's budget will be evaluated based on the reasonableness and accuracy of proposed costs and its realism with respect to the activities proposed in the technical application.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. POST-SELECTION INFORMATION

Following evaluation, USAID will inform the apparently successful applicant concerning the award. A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the successful applicant's main point of contact.

USAID also will notify unsuccessful applicants concerning their status after selection has been made.

B. STANDARD PROVISIONS AND DEVIATIONS

There are no standard provision deviations contemplated under this award.

C. GENERAL INFORMATION ON REPORTING REQUIREMENTS

C.1. FINANCIAL REPORTING

(1) The recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>). The recipient must submit a copy of the FFR at the same time to the Agreement Officer and the Agreement Officer's Technical Representative (AOTR).

The recipient shall list each country included in the program and the total amount expended for each country under the award for the reporting period in the "Remarks" block on the "Federal Financial Report" SF 425.

(2) An original and two copies of all final financial reports must be submitted to USAID/Washington, M/CFO, the Agreement Officer, and the AOTR. The recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

(3) Reporting on Foreign Taxes shall be in accordance with the corresponding provision on "Reporting of Foreign Taxes (March 2006).

C.2. MONITORING AND REPORTING PROGRAM PERFORMANCE

1. The Recipient will be required to submit an annual performance report and work plan, quarterly updates, and periodic programing information, upon request. The annual performance reports shall present the information contained in 22 CFR 226.51(d).
2. The Annual Reports and Work Plans shall be submitted in a format and on a time schedule agreed to between the AOTR and Recipient (generally 45 days after the end of the fiscal year).

3. The format of the Annual Report and Implementation Plan shall be agreed to between the AOTR and CRSP ME, but content should include discussion of progress against benchmarks, any challenges of obstacles to implementation and illustrations of engagement with stakeholders. USAID is particularly interested in tracking policy maker, private sector and USAID Mission engagement in research activities. Reporting will need to correspond to USAID required indicators (program component indicators, SO indicators or FTF indicators as agreed with USAID).
4. The Annual Reports for the Leader Award should include summary information on any Associate Awards that may be made.
5. At a minimum, reporting should include activities undertaken, trends, problems leading to delays of implementation and any interaction with field-based programs or Missions. Reporting should also include progress made toward benchmarks and result indicators of development impact. Qualitative descriptions of success stories and achievements to illustrate the applications of CRSP research should be included whenever possible.
6. The Quarterly Updates shall be concise (typically 1 to 3 page) reports of deviations from Annual Work Plan projections, significant problems encountered, and other issues requiring USAID attention, as well as any significant achievements, events or other points of interest that might be of interest to the USAID community.
7. On occasion, USAID may require informal updates or provision of data that correspond to demands for information from Congress, Missions or other stakeholders.

C.3. FINAL REPORT

The final performance report shall contain the information contained in 22 CFR 226.51(d). The Recipient shall submit a final report that replaces the last annual report and includes: an executive summary of the recipient's accomplishments in achieving results and impact, conclusions about lessons learned, future challenges and opportunities, an overall description of the Recipient's activities and attainment of results by country, region, or theme, an assessment of progress made toward accomplishing the Objectives and expected Results, significance of these activities, and important research findings, comments and recommendations. The final report must also include a final fiscal report that describes how funds were used.

C.4. SUBMISSION OF REPORTS

The Recipient shall submit an original to the Washington AOTR, one copy to the Agreement Officer, and one electronic copy of the final report to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

E-mail (the preferred means of submission):
docsubmit@usaid.gov

US Postal Service:
USAID Development Experience Clearinghouse
M/CIO/KM
RRB M.01
U.S. Agency for International Development
Washington DC 20523

Please reference web site <http://dec.usaid.gov/> or call (202) 712-0579 concerning any questions your organization may have on the reporting requirements.

D. EVALUATION

USAID may carry out external evaluations of the AMA CRSP as deemed necessary. This evaluation would seek to determine the quality and progress of the research, the achievement of outreach and impact, as outlined in the programs proposal, and the degree to which the research activities achieve integration and relevance to policy and programming in-country and more broadly. The evaluation would also explore administrative and management issues, including the relationship between Management Entity and sub-award institutions, the responsiveness to USAID and, the fulfillment in reporting, cost-sharing, technical leadership and other obligations. The USAID will consult with the Recipient to the extent possible and appropriate in planning and carrying out any such external evaluations. An external evaluation would likely be required to provide input into any decision for renewal and extension of the Program for a possible second five-year award.

SECTION VII – AGENCY CONTACTS

The point of contact for this RFA and any question during the RFA process is:

Christine Dwulet
U.S. Agency for International Development
SA-44 Room 562-C
1300 Pennsylvania Avenue, NW
Washington, DC 20523
cdwulet@usaid.gov

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing by the date listed on the cover letter to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

SECTION VIII – OTHER INFORMATION

A. USAID’S RESERVE RIGHT

USAID reserves the right to fund any or none of the applications submitted. Awards are subject to the availability of funds.

ANNEXES

ANNEX A. ACRONYMS AND DEFINITIONS

The following acronyms are particular to this Request for Application:

The following acronyms are particular to this Request for Application:

AMA – Access and Market Access

AOTR – Agreement Officer’s Technical Representative: A USAID employee designated by the Agreement Officer to oversee a CRSP on behalf of USAID

BFS – Bureau of Food Security, USAID

BFS/MPI – The Office of Markets, Partnerships and Innovation in the Bureau of Food Security

BIFAD—Board for Food and Agricultural Development

BOD - Board of Directors: Normally the senior policy/decision making body of a CRSP

CAADP - Comprehensive Africa Agricultural Development Programme

CIB - Contract Information Bulletin

CGIAR - Consultative Group for International Agricultural Research

CRSP - Collaborative Research Support Program

CRSP Council - Administrative body consisting of the Program Directors and Chairs of the Boards of Directors and Technical Committees from each active CRSP

Host Countries - A developing country in which a CRSP has formal activities

IARC - International Agricultural Research Center

LWA – Leader with Associates, an USAID assistance mechanism that may be either a grant or cooperative agreement. The leader award establishes the agreement relationship under which associates may be awarded without further competition

ME - Management Entity of a CRSP

Mission - A formally organized USAID unit in a developing country led by a Mission Director, or a Country Representative

MSI – Minority Serving Institutions

NARS - National Agricultural Research Systems

PI - Principal Investigators - Scientists in charge of the research for a defined segment or a scientific discipline of a CRSP

RFA - Request for Application.

Sub-grant/agreement - A document representing a sub-agreement made between the ME and a participating institution under authority of a grant agreement by the ME with USAID

TC - Technical Committee. A group of scientists selected to help guide the scientific aspects of the research program of a CRSP.

Title XII - The Title XII Amendment to the International Development Food Assistance Act of 1975 as passed by the United States Congress and subsequently amended

USAID - United States Agency for International Development

USAID/W - Washington headquarters of the United States Agency for International Development

ANNEX B. USEFUL WEBSITES

Feed the Future (www.FeedtheFuture.gov)

Feed the Future Research Strategy <http://www.feedthefuture.gov/research.html>

BASIS Assets and Market Access CRSP <http://www.basis.wisc.edu/>

Listing of federal grants application requests are at [<http://www.grants.gov>]

ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences: [<http://www.usaid.gov/policy/ads/300/refindx3.htm>]

Development Clearinghouse: [http://dec.usaid.gov/submit_doc.cfm]

Requirements and standard formats/ logos for USAID branding requirements:
<http://www.usaid.gov/branding/assistance.html>

Leader with Associates Awards, applicants are referred to CIB 99-10
[http://www.usaid.gov/business/business_opportunities/cib/pdf/cib9910.pdf.]

USAID's Policy Framework for Bilateral Foreign Aid (http://pdf.dec.org/pdf_docs/PDACG244.pdf)

Comprehensive African Agriculture Development Program (<http://www.nepad.org/2005/files/caadp.php>)

Rural development with a focus on Africa: Nature, wealth and power: emerging best practice for revitalizing rural Africa: www.usaid.gov/our_work/agriculture/landmanagement/pubs/nature_wealth_power_fy2004.pdf

The Agricultural Strategy, Title Twelve reports and other documents from the Office of Agriculture:
(http://www.usaid.gov/our_work/agriculture/index.html);

ANNEX C. FOREIGN ASSISTANCE PROGRAM STANDARDIZED PROGRAM STRUCTURE, DEFINITIONS AND INDICATORS

Program Area 4.5: Agriculture

Agriculture is the science and practice of food, feed, and fiber production (including forestry, wildlife, fisheries, aquaculture and flora culture) and its relationships to natural resources, processing, marketing, distribution, utilization (including nutrition), and trade.

Program Element 4.5.1: Agricultural Enabling Environment

Definition: Support agricultural policies, laws and regulations, and institutions that: foster adoption of improved technology; promote investment in infrastructure at all levels, and enhance the natural resource base in ways that respond to the needs of men and women producers.

Sub-Element 4.5.1.1: Agricultural Resource Policy

Definition: Support institutions and equitable policies that foster sustainable utilization of land, water, plant, and animal resources to enhance agricultural productivity and incomes, increase resource quality and quantity, and decrease degradation of productive resources. This includes access to and securing property rights over agricultural resources, including by female-headed households and returning internally displaced persons and refugees, and it includes increasing returns of agricultural labor.

Sub-Element 4.5.1.2: Food Policy

Definition: Support institutions, policies and incentives aimed at ensuring that adequate, safe, and nutritious food is available; markets function efficiently; and that low-income groups and those vulnerable to food insecurity (e.g., female farmers with small land holdings, female-headed households, children, and HIV-affected) are able to access and appropriately utilize that food.

Sub-Element 4.5.1.3: Agricultural Market Standards and Regulations

Definition: Improve laws, institutions, and policies that impact market transactions of agricultural goods, inputs, practices, and services. This includes international policies such as agriculture-related agreements of the WTO; domestic science-based regulation to ensure food, feed, and environmental safety; and market-based or industry-led quality grades, standards, and certification.

Sub-Element 4.5.1.4: Public Investment Policy

Definition: Improve institutions and policies that encourage increased and more effective public and private investments in agricultural institutions and infrastructure to provide the basis for expanded productivity in the agricultural sector. This includes support for (1) scientific and technological advances through research and development, (2) governmental actions that provide a positive climate for innovation and investment, and (3) efforts to comply with international treaties and encourage international cooperation and public-private partnerships.

Program Element 4.5.2: Agricultural Sector Capacity

Definition: Sustain the productivity of the agricultural sector through investments that foster increasing returns to land, labor, and capital. Targeted interventions to male and female producers provide improvements in technology and management practices, expanded access to markets and credit, increased

organizational and market efficiency, and restoration and protection of resiliency in production and livelihood systems.

Sub-Element 4.5.2.1: Research and Technology Dissemination

Definition: Support scientific research and technology, including biotechnology that generates improvements in production systems (crop, livestock, farm, forest, and fisheries), value-added products, and management practices leading to sustainable productivity gains, mitigation of risk, and income growth. It also supports dissemination and adoption of productivity-enhancing and post harvest technologies, value-added products, and management practices in these areas by reducing the barriers that may constrain male or female producers, processors, and manufacturers.

Sub-Element 4.5.2.2: Land and Water Management

Definition: Develop and invest in the quantity and quality of land and water resources, including irrigation and soil fertility, riparian and range management, and water resources to improve and sustainably increase agricultural productivity and incomes. This includes related land and water administration systems.

Sub-Element 4.5.2.3: Rural and Agricultural Finance

Definition: Increase equitable access to financial services by male and female farmers in rural areas and for agricultural enterprises to purchase necessary inputs; introduce new technologies; expand productive capacity; and finance storage, transport, and marketing costs. Also includes access to mechanisms and products that reduce seasonal income and consumption variability, protect and build assets, and mitigate price and weather risk. (Link to Microfinance 7.1.2 and Financial Services 3.2, as appropriate.)

Sub-Element 4.5.2.4: Agribusiness and Producer Organizations

Definition: Support the growth of small and medium agro-enterprises, including producer organizations/associations, which are engaged in producing, marketing, or adding value (e.g. processing and quality enhancement) to crop, livestock, forestry, and fishery products. Support addresses the needs and capacities of both men and women producers and includes such areas as adoption of technology and technical processes, businesses and human resources management, environmental regulatory compliance, and organizational governance.

Sub-Element 4.5.2.5: Markets and Trade Capacity

Definition: Build capacity to link small-scale producers (men and women), pastoralists, and small to medium enterprises to the economic opportunities of commercial markets. This includes both input and output markets at the local, regional, and international levels. Interventions include areas such as the development of risk management strategies; warehouse receipt, agricultural commodity trading and accessible market information systems; meeting market standards; and public and private investments that support efficient agricultural marketing such as storage facilities, cold storage, packaging facilities, and agricultural processing facilities.

Sub-Element 4.5.2.6: Emerging Agricultural Threats

Definition: Strengthen plant and animal disease surveillance and the control of emerging agricultural pests and diseases (e.g. Wheat Stem Rust) to mitigate productivity losses, allow access to international markets, reduce risks to human health, improve food safety, and reduce the risk of introduction of diseases into the U.S.

Sub-Element 4.5.2.7: Agricultural Livelihood Services and Safety Nets

Definition: Support risk management and economic diversification, transfer and adaptation of proven technologies and human organization innovations to increase market access, food or cash transfers in exchange for public works; and resource transfers and/or agricultural inputs (e.g. seeds, tools, and livestock) which enable male and female producers to try new technologies and production methods that would otherwise not be available to them.

Program Area 4.5: Agriculture Foreign Assistance Indicators

Standard Foreign Assistance Framework Indicators

- Number of policy reforms analyzed with USG assistance
- Number of policy reforms presented for legislation/ decree as a result of USG assistance
- Number of institutions/organizations undergoing capacity/ competency assessments as a result of USG assistance
- Number of institutions/organizations making significant improvements based on recommendations made via USG supported assessment
- Number of individuals who have received USG supported short-term agricultural enabling environment training
- Number of individuals who have received USG supported long term agricultural enabling environment training
- Number of new technologies or management practices under research as a result of USG assistance
- Number of new technologies or management practices under field testing as a result of USG assistance
- Number of new technologies or management practices made available for transfer as a result of USG assistance
- Number of additional hectares under improved technologies or management practices as a result of USG assistance
- Number of additional surveillance and/or control systems in place for agricultural threats (biological and environmental) as a result of USG assistance
- Number of vulnerable households benefiting directly from USG assistance
- Number of rural households benefiting directly from USG interventions
- Number of producers organizations, water users associations, trade and business associations, and community-based organizations (CBOs) receiving USG assistance
- Number of agriculture-related firms benefiting directly from USG supported interventions
- Number of public-private partnerships formed as a result of USG assistance
- Number of individuals who have received USG supported short term agricultural sector productivity training
- Number of individuals who have received USG supported long term agricultural sector productivity training
- Percent change in value of intra-regional exports of targeted agricultural commodities as a result of USG assistance
- Percent change in value of international exports of targeted agricultural commodities as a result of USG assistance
- Amount of private financing mobilized with a DCA guarantee
- Percent change in value of purchases from smallholders of targeted commodities as a result of USG assistance
- Number of women's organizations/associations assisted as a result of USG supported interventions

ANNEX D. STANDARD FORMS 424 AND 424A

FORMS AVAILABLE AT: www.grants.gov

The following object class categories are those required on USAID Form 424A:

Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits and other items.

Travel

This category includes all projected travel, per diem and other related costs for personnel except consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per diems are based on established policies.

Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. Applicants may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

Contractual Services

This category is for all subcontractors with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grant, which should be included in other.

Construction

N/A

Other

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the US or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The Applicant should provide information on any costs attributed to the project not associated above; i.e., communications, facilitate, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all sub-grants.

Indirect Charges

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate. In the absence of a NICRA all costs must be charged as direct costs.

USAID Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program, if applicable. A cash match means that funds are used to support the budget elements discussed above. The cash value of donated equipment or supplies must be documental.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424. The narrative must provide clear explanations for cost reasonableness, particularly when proposed costs exceed market rates.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative.

SAMPLE COOPERATIVE AGREEMENT BUDGET

SF 424, Sec. B, Item 6

Budget Cost Element	Object Class Category	Budget Amount
Program	Line a, b, c, & h	\$ _____
Procurement	Line d, e and f	\$ _____
Training	Line h	\$ _____
Indirect Costs	Line j	\$ _____
Program's Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient's Cost Share, if applicable		\$ _____
Total Program Funding		\$ _____

**ANNEX E. MANDATORY STANDARD PROVISIONS FOR U.S. NON-
GOVERNMENTAL RECIPIENTS**

For full-text of clauses available at <http://www.usaid.gov/policy/ads/300/303.pdf>

ANNEX F. SAMPLE ASSOCIATE AWARD FORMAT AND SCHEDULE

Mr. John Doe
President
XYZ, Organization
Anywhere, USA.

Subject: Award Number _____

Dear Mr. Doe:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the US Agency for International Development (hereinafter referred to as ‘USAID’ or ‘Grantor’) hereby awards to the XYZ Organization (herein after referred to as ‘XYZ’ or ‘Recipient’), the sum of \$_____ to provide support for a program in _____ as described in the Schedule of this agreement and the Attachment 2, entitled ‘Program Description.’

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending _____. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This agreement is made to the XYZ, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to US Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program summary"; and Attachment 3 entitled "Standard Provisions." [NOTE - Do not include reference to 22 CFR 226 if Agreement is with a Non-US Organization]

Please sign the original and each copy of this letter to acknowledge your organization’s receipt of the grant, and return the original and all but one copy to the Agreement Officer.

Sincerely yours,

Agreement Officer

Attachments:

1. Schedule
2. Program summary
3. Standard Provisions

ACKNOWLEDGED:

XYZ Organization

By: _____

Title: _____

Date: _____

FISCAL DATA

A. GENERAL

1. Total Estimated USAID Amount: \$ _____
2. Total Obligated USAID Amount: \$ _____
3. Cost-Sharing Amount (Non-Federal): \$ _____
4. Project Number: _____
5. USAID Project Office: _____
6. Tax I.D. Number: _____
7. CEC Number: _____
8. LOC Number: _____

B. SPECIFIC

(as appropriate)

1. MAARD Number: _____
2. Appropriation: _____
3. Allocation: _____

Part II Sample Associate Award Format

A. Purpose of Agreement

The purpose of this Agreement is to provide support for the program described in Attachment 2 to this Agreement entitled "Program Description."

B. Period of Agreement

1. The effective date of this Agreement is _____. The estimated completion date of this Agreement is _____.

[Note - For incrementally funded agreements or where pre-award expenses are authorized, add the following sentence:]

2. Funds obligated hereunder are available for program expenditures for the estimated period _____ to _____ as shown in the Agreement budget below.

C. Amount of Award and Payment

[Note - For fully funded agreements use the following:]

1. USAID hereby obligates the amount of \$ _____ for purposes of this Agreement.
2. Payment shall be made to the Recipient by _____ (Note - state method) in accordance with procedures set forth in _____ [Note - for US Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

- or -

[For incrementally funded awards use the following in lieu of the above:]

1. The total estimated amount of this Award for the period shown in B.1 above is \$ _____.
2. USAID hereby obligates the amount of \$ _____ for program expenditures during the period set forth in B.2. above and as shown in the Budget below. The recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the recipient for the expenditure of amounts in excess of the total obligated amount.
3. Payment shall be made to the Recipient by _____ (Note - state method) in accordance with procedures set forth in _____. [Note - for US Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]
4. Additional funds up to the total amount of the grant shown in C.1 above may be obligated by USAID subject to the availability of funds, satisfactory progress of the project and continued relevance to USAID programs.

D. Budget

[Note - the items included in the Budget, including local cost financing items, should relate to the results, activities or functions described in Attachment 2 - Program summary, not to specific cost items (such as salaries or travel) except for those listed at items 4-6 below. However, at the discretion of the Agreement Officer, an alternative budget may be appropriate.]

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with _____. [Note - For US Organizations cite 22 CFR 226.25; for Non-US refer to Standard Provision entitled "Revision of Grant Budget."]

Total*			
From** __to** __	From** __to** __	From** __to** __	
Cost Element			
\$US Local	\$US Local	\$US Local	

Currency

Currency

Currency

1.

2.

3.

4. Training

5. Procurement

6. Indirect Costs

overhead

7. Total

\$ _____

* Use all three columns for incrementally funded grants, otherwise use only this column.

** Insert effective and expiration dates of grant or obligation/funding dates.

E. Reporting and Evaluation

1. Financial Reporting

The Recipient shall submit ____ (an original and two copies of _____) [Note - Agreement Officer to determine type of report, frequency of reporting periods and address]. Financial Reports shall be in keeping with _____[Note - for US Organizations add: 22 CFR 226.52; for Non-US refer to appropriate Standard Provision]. For US Organizations under Letter of Credit the following language shall be used:

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“In accordance with 22 CFR 226.52 the SF 269 and 272 will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1) The SF 272 and 272a (if necessary) will be submitted via electronic format to the US Department of Health and Human Services (<http://www.dpm.psc.gov>) . A copy of this form shall also be simultaneously submitted to the Agreement Officer [NOTE: if Agreement Officer desires a copy] and the AOTR.

2) The SF 269 or 269a (as appropriate) shall be submitted to the AOTR with one copy to the Agreement Officer [NOTE: if Agreement Officer desires]

* 3) In accordance with 22 CFR 226.70 - 72 [Note: for Non-US organizations refer to appropriate Standard Provision] the original and two copies of final financial reports shall be submitted as follows: M/FM, the Agreement Officer (if requested) and the AOTR. The electronic version of the final SF 272 or 272a shall be submitted to HHS in accordance with paragraph (1) above.

2. Program Reporting

The Recipient shall submit ____ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to ____ [Note - specify name and title of AOTR and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted ____ [Note - state frequency, not to exceed quarterly] and shall contain the following

information _____ [Note - state reporting requirements, as related to the Program Description].

Final Report

The Recipient shall submit the original and one copy to _____ [Note - specify name and title of AOTR and the Agreement Officer, if desired, along with address] and one copy to USAID Development Experience Clearinghouse to one of the following:

(A) Via E-mail: docsubmit@dec.cdie.org ; (B) Via US Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA; (C) Via Fax: (301) 5887787; or (D) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>.

The final performance report shall contain the following information _____ [Note - state reporting requirements, as related to the Program Description].

F. Special Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized. Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226 which have been approved as deviations for the specific award.]

G. Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

H. Title to Property

[Note - Specify to whom title will vest for property, by category if appropriate.]

[Note - For awards having a procurement element greater than \$250,000, add the following:]

I. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is _____.

[Note - For awards with a cost-share element add the following:]

J. Cost Sharing

The Recipient agrees to expend an amount not less than _____ [Note - put in percentage] of the total activity costs.

[For awards with US or Non-US Organizations which may generate Program Income add the following:]

K. Program Income

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-US organizations).

Program Income earned under this award shall be applied and used as follows: [Note - Agreement Officers in consultation with the AOTR must decide how Program Income will be applied: 1) added to the Project; 2) used to finance the non-Federal share; or 3) deducted from the total Federal share. All three may be picked as long as a descending order (i.e., "excess amounts may be applied to another alternative") is established in accordance with 22 CFR 226.24. Agreement Officers are encouraged to be as specific as possible in detailing the appropriate types of activities Program Income may be applied for when using the additive option as described at 226.24(b)(1).

ANNEX G. PAST PERFORMANCE INFORMATION

CONTRACTOR PERFORMANCE REPORT - SHORT FORM	
PART I: Contractor Information (to be completed by Prime)	
1.	Name of Contracting Entity:
2.	Contract Number:
3.	Contract Type:
4.	Contract Value (TEC): (if subcontract, subcontract value)
5.	Problems: (if problems encountered on this contract, explain corrective action taken)
6.	Contacts: (Name, Telephone Number and E-mail address)
6a.	Contracting officer:
6b.	Technical Officer (AOTR):
6c.	Other:
7.	Contractor:
8.	Information Provided in Response to RFP No. :
PART II: Performance Assessment (to be completed by Agency)	
1.	Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2.	Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3.	Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4.	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5.	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:

[Note: The actual dollar amount of subcontracts, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

ANNEX H. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
 - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance

which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:
 - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
 - b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
 - c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

Please find the survey at <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> .

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
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_____	_____	_____	_____
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_____	_____	_____	_____
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_____	_____	_____	_____
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2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
 - (1) Recipient's name.
 - (2) Recipient's address.
 - (3) Recipient's telephone number.
 - (4) Line of business.
 - (5) Chief executive officer/key manager.
 - (6) Date the organization was started.
 - (7) Number of people employed by the recipient.
 - (8) Company affiliation.
- (c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

- (a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and

services which the recipient plans to purchase under the grant:

\$ _____

- (c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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- (d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50 percent componentry, which are not at least 50 percent U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50 percent U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION PROBABLE (Generic)	QUANTITY UNIT COST	ESTIMATED COMPONENTS	GOODS SOURCE	PROBABLE COMPONENTS	GOODS ORIGIN
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- (e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	INTENDED USE
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(f) **Supplier Nationality.** If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10 percent of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

6. PAST PERFORMANCE REFERENCES

7. TYPE OF ORGANIZATION

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.